

U.S. DEPARTMENT OF ENERGY
NEVADA OPERATIONS OFFICE

MANUAL

NV M 410.XA

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**TASK PLAN AND CHANGE CONTROL
PROCESS**



INITIATED BY:
Resources Management Division

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1. OBJECTIVE. This Manual establishes requirements for developing, implementing, and modifying task plan (TP) and change control processes. It includes provisions for scope of work (SOW) descriptions, specific milestones, deliverables, and cost estimates, and ensures incorporation of environment, safety, and health (ES&H) requirements as defined in contracts and/or the Work Smart Standards (WSS).
2. CANCELLATION. NV M 410.X, TASK PLAN AND CHANGE CONTROL PROCESS, dated 3-3-99.
3. APPLICABILITY.
 - a. The provisions of this Manual apply to the DOE Nevada Operations Office (DOE/NV) organizational elements and performance-based and support contractors performing work under the purview of DOE/NV as set forth in the contractors' contract.
 - b. The provisions of this Manual apply except for Financial Change Control (FCC) and WBS development for select indirect functions of performance-based contractors.
 - c. The Contractor Requirements Document (CRD), see Attachment 1, sets forth intended requirements to be implemented by performance-based management and other prime contractors identified by DOE/NV program officials. Compliance with the CRD will be required to the extent set forth in a contract.
4. REQUIREMENTS. The TP and change control processes are essential parts of the Project Control System (PCS) that document the baseline, the reason for change, the performance measures, and the expectations for all assigned SOW.
 - a. The Resources Management Division (RMD) shall issue an annual guidance letter requesting the DOE/NV Assistant Managers (AM) or their representatives to identify the direct and select indirect functions to be included in TPs, define the TP level and reporting requirements of the Work Breakdown Structure (WBS), and to initiate TP development for the next fiscal year (FY).
 - At a minimum, the information listed in Sample "DOE/NV Task Plan," Attachment 2, should be on the TP.

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- b. The DOE/NV AMs or their representatives shall:
 - (1) Identify the direct and select indirect functions.
 - (2) Define the TP level and supporting WBS through discussion with contractors/customers for the next FY.
 - (3) Provide the contractors a list of reporting requirements.
 - (4) Submit the final WBS to RMD.
 - (5) Orchestrate TP development in accordance with their internal procedure.
 - (6) Ensure the original signed TP is forwarded to RMD by the scheduled due date as requested by the RMD guidance letter.
 - (7) Approve/disapprove baseline changes or financial changes to TPs.
 - (a) At a minimum, the information listed in Attachment 3 should be on the Baseline Change Control (BCC).
 - (b) At a minimum, the information listed in Attachment 4 should be on the FCC.
 - (c) The DOE/NV AMs or their representatives signs the approval/disapproval of change and submits the original BCC and/or FCC to RMD.

5. RESPONSIBILITIES.

- a. DOE/NV AMs. Responsible for the overall development, implementation, and modifications of TPs and change control processes for those programmatic and functional areas as assigned by the DOE/NV Manager. The DOE/NV AMs are also responsible for assigning programmatic and functional areas representatives (no lower than Team Leaders or the GS-14 Level where Team Leaders are not normally assigned) for approval of TPs. Each DOE/NV AM or their representative should develop and maintain an internal procedure to ensure the integrity of this process. At a minimum, the internal procedure should include provisions to:

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- (1) Identify and agree upon direct and select indirect functions for TP development.
 - (2) Agree upon the appropriate TP level and supporting WBS and reporting levels.
 - (3) Form a TP team, for each TP, consisting of all DOE/NV and contractor individuals (managers who may be in separate organizations) responsible for SOW within the associated TP.
 - (4) Develop the SOW, including milestones and deliverables through discussion with applicable DOE/NV and contractor managers.
 - (5) Request cost estimates for defined SOW from the contractor.
 - (6) Review/negotiate the final TP using the appropriate managers' expertise. Ensure applicable ES&H requirements defined in contracts and/or WSS have been addressed.
 - (7) Sign the TP.
 - (8) Define the required process for changing the technical, budget, and/or ES&H requirements of a TP.
 - (9) Define the required process for funding changes of a TP.
- b. PCS Working Group. Develops and implements enhancements to the PCS through continuous improvement of PCS information systems and processes. The members consist of working-level individuals (or their alternates) from each Assistant Manager and participating contractors.
- c. Managers of Programs, Projects, and Functions. Identifies the deliverables required for his/her missions and performs functions related to acquiring those deliverables, such as:
- (1) Negotiating, documenting, and recommending program or functional requirements, technical direction, and any changes.
 - (2) Preparing procurement requests and work statements.

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- (3) Ensuring that work is executed with quality deliverables which are within budget, schedule, and in accordance with ES&H requirements defined in contracts and/or WSS.
 - (4) Recommending criteria for evaluating contractor performance.
 - (5) Overseeing technical progress on a project or function.
 - (6) Inspecting and recommending acceptance of contract deliverables.
 - (7) Recommending contractor accomplishments and areas of concern on TP performance.
 - (8) Assisting the DOE/NV AMs or their representatives in fulfilling their responsibilities.
- d. Resources Management Division. Maintain the overall integrity and documentation process for the PCS, TPs, and change control actions. Performs reviews of (1) TPs to ensure that they contain appropriate detail and that they include Government Performance and Results Act Headquarter goals, and (2) documented procedures to ensure they are operating effectively.
6. REFERENCE. NV M 111.XA, FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL.
7. DEFINITIONS.
- a. Baseline Change Control. The required process for changing the technical (i.e., SOW description), budget (i.e., cost estimate to complete the SOW specified), ensure ES&H requirements as defined in contracts and/or WSS are included, and/or schedule requirements (i.e., milestones to complete specified SOW).
 - b. Budget Authority. Authority provided by law to enter into financial obligations that will result in immediate or future outlays involving federal government funds.
 - c. Contractors. Any entity providing services to DOE/NV.

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- d. Customers. Any entity receiving services from DOE/NV.
 - e. Financial Change Control. The required process for changing funding of a TP.
 - f. Reporting Level of WBS. The level at which the DOE/NV AMs or their representatives and the contractor agree on reporting requirements.
 - g. Task Plan. The execution year agreement between the contractor and the DOE/NV AMs or their representatives to perform a specific SOW on a mutually accepted schedule.
 - h. TP Level of WBS. The level at which the DOE/NV AMs or their representatives and the contractor agree to develop a TP.
 - i. Work Breakdown Structure. A tree hierarchy of work necessary to accomplish the DOE/NV missions.
8. CONTACT. Questions concerning this Manual should be addressed to DOE/NV RMD at (702) 295-0967.



Kathleen A. Carlson
Manager

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CONTRACTOR REQUIREMENTS DOCUMENT

Performance-based management and security service contractors shall develop and maintain written procedures to ensure the integrity of the task plan (TP) and change control process. At a minimum, the procedures should include provisions to:

1. Assist DOE Nevada Operations Office (DOE/NV) in developing the Work Breakdown Structure for TP level.
2. Develop reporting levels below the TP level.
3. Participate in developing the scope of work (SOW), including milestones, deliverables, and ensuring environment, safety, and health (ES&H) requirements specified in contracts and/or Work Smart Standards are addressed in cost estimates through discussions with applicable DOE/NV Program/Project and Function Managers.
4. Develop cost estimates for defined SOW.
5. Participate in the approval of (sign) TP agreement.
6. Follow the requirements set forth by the DOE/NV Assistant Managers or their representatives for change control at the TP level.
7. Define the required process for changing the technical, budget and/or schedule of a TP level. The information contained in the baseline change shall include the contents listed in Attachment 3.
8. Provide members to serve on the Project Control Systems Working Group.

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DOE NEVADA OPERATIONS OFFICE (DOE/NV) TASK PLAN

FY _____ DOE/NV TASK PLAN													PAGE _____
1. DATE		3. CONTRACT #			4. CONTRACTOR NAME			OPERATING		GPP		LINE ITEM	CAPITAL EQUIPMENT
2. REVISION					7. B&R CODE (HQ Control Level) or INDIRECT POOL								
5. WBS NUMBER													
6. WBS TITLE													
8. DOE/NV PROGRAM/PROJECT(S) OR FUNCTIONAL MANAGER(S)										12. PLANNED START DATE			
										13. PLANNED FINISH DATE			
9. NATIONAL LAB SIGNATURE (if applicable)		(Print Name)						(Signature)					
10. DESIGNATED CONTRACTOR MANAGER		(Print Name)						(Signature)					
11. DOE/NV ASSISTANT MANAGERS / REPRESENTATIVES		(Print Name)						(Signature)					
14. SCOPE OF WORK DESCRIPTION													
15A. MILESTONE/DELIVERABLE TITLE				DATE		15B. MILESTONE/DELIVERABLE TITLE				DATE			
1						11							
2						12							
3						13							
4						14							
5						15							
6						16							
7						17							
8						18							
9						19							
10						20							
RESOURCE DISTRIBUTION													
16. APPLICABLE COST CATEGORY													
CURRENT FY	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	TOTAL FY
BCWS (e.g., Labor, Material, ODC, etc.)													
TOTAL DIRECT HOURS													

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DOE/NV TASK PLAN (TP) INSTRUCTIONS

1. **Date.** Enter date of issue of current revision.
2. **Revision.** Preliminary revisions are designated by an alpha character starting with A. When all appropriate signatures are on the form and the Task Plan is ready for implementation, it is to be issued Revision 0.
3. **Contract Number.** The DOE contract number under which the work is to be done.
4. **Contractor Name.** The name of the contractor to perform the work.
5. **Work Breakdown Structure (WBS) Number.** The WBS leg number under which the work will be collected.
6. **WBS Title.** The WBS title that corresponds with the WBS number.
7. **B&R Code or Indirect Pool.** Enter the Budget and Report funding code number in this field under the appropriate funding source: that is, Operating, GPP, Line Item, or Capital Equipment.
8. **DOE/NV Program/Project(s) or Functional Manager(s).** Print name of the DOE/NV Program/Project(s) or Functional Manager(s) responsible for establishing the scope, schedule, and deliverables associated with the task.
9. **National Lab Signature (If Applicable).** If applicable, print name of the national lab or other manager responsible for the execution of the Task Plan and obtain signature.
10. **Designated Contractor Manager.** Print name of the Contractor Task Plan Manager responsible for the execution of the Task Plan and obtain signature.
11. **DOE/NV Assistant Managers/Representatives.** Print name of the DOE/NV Assistant Managers/Representatives responsible for establishing the scope, schedule, and deliverables associated with the task and obtain signature.
12. **Planned Start Date.** Enter the start date for the task.
13. **Planned Finish Date.** Enter the completion date for the task.
14. **Scope of Work Description.** A description of the scope of work stating deliverables: qualification, any reference documents.
15. **Milestone/Deliverable Title.** List the milestone and/or deliverables and their due dates.
16. **Applicable Cost.** The baseline estimate by month. Cost for direct tasks plans should be reflected in the BCWS (Budgeted Cost of Work Scheduled). The BCWS will reflect the fully loaded costs (direct and indirect). Indirect \$ line should only be used for indirect tasks plans.

Note: This data may be a part of MPM file; if so, attach a copy of the MPM BCWS.
17. **Fiscal Year Distribution.** This includes by year the prior year actuals and estimate for current fiscal year and any outlying years. If the scope extends beyond five (5) fiscal years, put the remaining years in "TO COMP." The Budget at Completion (BAC) is the total estimate for the task.

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BASELINE CHANGE CONTROL (BCC) PROPOSAL

1. TASK PLAN INFORMATION			
WBS Number	Date	Contractor Log Number	DOE Log Number
WBS Title		Proposed TP Revision Number	
Contractor Project Manager		DOE/NV Program/Project(s) or Functional Manager(s)	
2. PROPOSED CHANGE			
Change Impact		Change Initiated by	
If the ES&H box is checked, an explanation must be provided in the Reason for Change. <input type="checkbox"/> Technical <input type="checkbox"/> ES&H <input type="checkbox"/> Administrative <input type="checkbox"/> Budget <input type="checkbox"/> Schedule _____ Name (Print)			
<u>Description of Change</u>			
<u>Reason for Change</u>			
<u>Impact if Change Is Not Made</u>			
(a) Current \$	(b) Proposed \$	(c) Change \$ (c = b - a)	
4. SCHEDULE IMPACTS			
TP Milestone/Deliverable Title	Current (M/D/Y)	Proposed (M/D/Y)	Difference
5. ATTACHMENTS			
6. CONTRACTOR POINT OF CONTACT			
Name	Phone	Fax	Mail Stop
7. CONTRACTOR APPROVAL AUTHORITY			
Name	Title	Signature	Date
8. DOE APPROVAL AUTHORITY			
Signature _____			
Print Name and Title _____		Date _____	
Signature _____			
Print Name and Title _____		Date _____	
Signature _____			
DOE/NV Assistant Managers or Their Representatives (Print Name) _____		Date _____	
		FCC Form Required? YES <input type="checkbox"/> NO <input type="checkbox"/>	

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BCC PROPOSAL INSTRUCTIONS

1. TASK PLAN INFORMATION

WBS Number - Enter the Work Breakdown Structure (WBS) of Task Plan, plus two-letter Contractor identifier.

Date - Enter current date.

Contractor Log Number - Enter Contractor log number.

DOE Log Number - DOE Division PCS Administrator enters DOE log number, using the format described in the box below.

ER97001

ER - Division (first two characters)

97 - Fiscal year (next two characters)

001 - Sequential three digit number (next three characters)

WBS Title - Enter title of the Task Plan (TP) per DOE Work Breakdown Structure (WBS).

Proposed TP Revision Number - Enter the proposed revision number (the original is 0).

Contractor Project Manager - Enter name.

DOE/NV Program/Project(s) or Functional Manager(s) - Enter name.

2. PROPOSED CHANGE

Change Impact - Identify whether change is technical, budget, administrative, schedule and/or ES&H. More than one box may be checked. If the ES&H box is checked, an explanation must be provided in the Reason for Change.

Change Initiated by - Enter originator's name.

Description - Provide explanation for the following three elements.

- Description of proposed change.
- Reason for change.
- Impact if change is not made.

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BCC PROPOSAL INSTRUCTIONS--(Continued)

Baseline Change Control (BCC) Proposal Instructions

3. BUDGET IMPACT

FCC Form Required - Identify whether or not FCC form is required.

B&R - Enter Budget and Report Funding Code.

(a) Current \$ - Enter the current approved budget for the fiscal year affected.

(b) Proposed \$ - Enter the proposed budget for the fiscal year affected.

(c) Change \$ - Subtract the current budget from the proposed budget and enter the value. Place in parentheses if value is negative.

4. SCHEDULE IMPACTS

TP Milestone/Deliverable Title - Enter TP milestone title description (limited to 15 characters).

Current - For a new milestone, enter "add," otherwise enter the current TP milestone date.

Proposed - If deleting a milestone, enter "delete," otherwise enter the proposed date.

Difference - Enter the change between the current and proposed milestone dates. Specify units (days, months, etc.). For additions or deletions, enter N/A.

5. ATTACHMENTS

List and attach all supporting documents (e.g., schedules, letters of direction, etc.).

6. CONTRACTOR POINT OF CONTACT

Enter printed name, phone, fax, and mail stop numbers of person to be notified when BCC Proposal is dispositioned.

7. CONTRACTOR APPROVAL AUTHORITY

Enter printed name, title, and the date. Obtain signature of Contractor Approval Authority.

8. DOE APPROVAL AUTHORITY

The DOE Approval Authority signs and dates the form and checks the appropriate disposition box.

FINANCIAL CHANGE CONTROL (FCC) FORM

SECTION 1.

FCC Log Number _____

FINANCIAL CHANGE CONTROL FORM

SECTION 2.	Program	Contractor	WBS No.	Cost Center	B&R Code	Amount	DOE/NV Program/ Project Manager Initials	Note #
Funds Moving From								
	Funds Manager _____ (Signature) _____ (Date)				Total	\$		
SECTION 3.	Program	Contractor	WBS No.	Cost Center	B&R Code	Amount	DOE/NV Program/ Project Manager Initials	Note #
Funds Moving To								
	Funds Manager _____ (Signature) _____ (Date)				Total	\$		

SECTION 4.

Explanation

- 1.
- 2.
- 3.

SECTION 5.

RMD Program Analyst

Signature _____

_____ Date

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FCC FORM INSTRUCTIONS

1. **FCC LOG NUMBER** - Enter Log Number assigned.

ER97001

ER - Division (first two characters)

97 - Fiscal year (next two characters)

001 - Sequential three digit number (next three characters)

2. **FUNDS MOVING FROM SECTION**

Program Column - Enter program designator (e.g., DP, EM, CM, etc.).

Contractor - Enter Contractor's Acronym (e.g., BN, IT, WSI, etc.).

WBS No. - Enter Work Breakdown Structure number of Task Plan.

Cost Center - Enter Cost Center Number (may be obtained from RMD Program Analyst).

B&R Code - Enter Budget and Report Code (may be obtained from RMD Program Analyst).

Amount - Enter amount of funds being removed from TP.

DOE/NV Program/Project Manager Initials - Obtain the applicable DOE/NV Program/Project Manager's initials for approval of funds movement.

Note # - For each funds movement identified, the DOE/NV Program/Project Manager assigns a number (1, 2, 3, etc.), which corresponds with the reason for funds movement listed in Section 4 Explanation.

Funds Manager's Signature - Obtain the Funds Manager's signature for approval of "funds moving from."

3. **FUNDS MOVING TO SECTION**

Program Column - Enter program designator (e.g., DP, EM, CM, etc.).

Contractor - Enter Contractor's Acronym (e.g., BN, IT, WSI, etc.).

WBS No. - Enter Work Breakdown Structure number of Task Plan.

Cost Center - Enter Cost Center Number (may be obtained from RMD Program Analyst).

B&R Code - Enter Budget and Report Code (may be obtained from RMD Program Analyst).

Amount - Enter amount of funds being added to TP.

DOE/NV Program/Project Manager Initials - Obtain the applicable DOE/NV Program/Project Manager's initials for approval of funds movement.

Note # - For each funds movement identified, the DOE/NV Program/Project Manager assigns a number (1, 2, 3, etc) which corresponds with the reason for funds movement listed in Section 4 Explanation.

Fund Manager's Signature - Obtain the Funds Manager's Signature for approval of "funds moving to."

4. **EXPLANATION** - For each Note # assigned, enter reason for funds movement.

5. **RMD PROGRAM ANALYST** - Obtain the appropriate RMD Program Analyst's signature and date.